

# Exhibit 4



# AR Money Transmitter License Amendment Checklist (Company)

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## CHECKLIST SECTIONS

- [General Information](#)
- [Amendments](#)

## GENERAL INFORMATION

### Instructions

Arkansas does not require advance notice for any changes, except for a change of control; make the changes in NMLS as of the effective date and submit supporting documentation as instructed in the checklist below.

A change of control request must be submitted to the Arkansas Securities Department within 15 days after learning of the proposed change of control.

### Uploading Agency-Specific Documents

If you are required to upload documents to NMLS for an Advance Change Notice (ACN), select “Advance Change Notice” for the document type in the NMLS Document Uploads section.

**Note:** Use the recommended filing naming convention found on the [Document Upload Descriptions and Examples](#).

If you are required to upload documents for an amendment that doesn’t require ACN, select the applicable document type in the NMLS Document Uploads section.

### Helpful Resources

- [Amendments & Advance Change Notice](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

### Agency Contact Information

Contact the Arkansas Securities Department licensing staff by phone at 501-324-9260 send your questions via e-mail to [jay.drake@arkansas.gov](mailto:jay.drake@arkansas.gov) for additional assistance.

### *For U.S. Postal Service & Overnight Delivery:*

Arkansas Securities Department  
1 Commerce Way  
Suite 402  
Little Rock, AR 72202

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.

## AMENDMENTS

- [Change of Legal Name](#)
- [Change of Main Address](#)
- [Addition or Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
- [Change of Legal Status](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
- [Addition or Modification of Indirect Owners](#)
- [Addition or Modification of Qualifying Individuals](#)
- [Change of Disclosure Question\(s\)](#)

**Note:** Information uploaded or filed in NMLS will not be viewable to the agency until the filing has been attested to and submitted through NMLS. Agency-specific requirements that should be emailed or mailed to the agency on the checklist below must be received with the appropriate checklist within five (5) business days of the electronic submission of your filing through NMLS.

| Complete                 | AR Money Transmitter License Change of Legal Name Amendment Items  | Submitted via...  |
|--------------------------|--|---|
| <input type="checkbox"/> | <b>Change of Legal Name:</b> Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.  | NMLS  |
| Note                     | <b>Change of Legal Name Fee:</b> \$0 per license<br>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.  | N/A   |
| <input type="checkbox"/> | <p><b>Surety Bond Rider:</b> Licensees may submit their surety bond to Arkansas in one of the ways listed below.</p> <ol style="list-style-type: none"> <li>1. <b><i>If you HAVE converted to the Electronic Surety Bond</i></b>, contact the surety bond producer to inform them of the change and effective date so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Resource Center for more information about the Electronic Surety Bond process.</li> </ol> <p><b>Note:</b> Pursuant to the adoption of the Electronic Surety Bond (ESB) on October 1, 2021, you will be required to convert your existing paper Surety Bond to NMLS via the submission of an ESB by April 30, 2022. See the <a href="#">ESB Adoption Table</a> and the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Recourse Center for more information.</p> <p><b><i>If you have NOT converted to the Electronic Surety Bond</i></b>, upload the Surety Bond Rider that reflects the change of name in NMLS under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1) AND mail the original copy to the address listed above. The name of the principal insured on the bond must match exactly the full legal name of applicant, including any Other Trade Names.</p> | <p><b>Electronic Surety Bond in NMLS</b></p> <p><b>Or;</b></p> <p><b>Upload in NMLS:</b> under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1). This document should be named <i>[License Type] Surety Bond</i>.</p> <p><b>AND</b></p> <p><b>Mail to Arkansas Securities Department, 1 Commerce Way, Suite 402, Little Rock, AR 72202</b></p> |

| Complete                 | AR Money Transmitter License Change of Main Address Amendment Items   | Submitted via... |
|--------------------------|---|------------------|
| <input type="checkbox"/> | <b>Change of Main Address:</b> Submit an amendment for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. | NMLS             |
| Note                     | <b>Change of Main Address:</b> \$0 per license<br>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.                   | N/A              |

| Complete                 | AR Money Transmitter License Addition or Modification of Other Trade Name Amendment Items  | Submitted via...   |
|--------------------------|--|--|
| <input type="checkbox"/> | <b>Addition or Modification of Other Trade Name:</b> Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. | NMLS   |
| Note                     | <b>Addition of Other Trade Name</b> \$0 per license<br>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.   | N/A  |
| <input type="checkbox"/> | If adding a new Other Trade Name, this name must be listed under the <i>Other Trade Names</i> section of the Company Form (MU1).                                     | NMLS   |
| <input type="checkbox"/> | <b>Trade Name/Assumed Name Registration Certificates:</b> Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.           | <b>Upload in NMLS:</b> under the Document Type "Trade Name/Assumed Name Registration Certificates" in the <i>Document Uploads</i> section of the Company Form (MU1). |

| Complete                 | AR Money Transmitter License Deletion of Other Trade Name Amendment Items  | Submitted via... |
|--------------------------|--|------------------|
| <input type="checkbox"/> | <b>Deletion of Other Trade Name:</b> Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS. | NMLS             |
| <input type="checkbox"/> | If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).      | NMLS             |

| Complete   | AR Money Transmitter License Change of Legal Status Amendment Items  | Submitted via... |
|--|--|------------------|
| <b>Note:</b> In many cases, a change to the Fiscal Year End, Legal Status, and State or Date of Formation indicates a new entity has been formed and a new NMLS record is required. This includes the creation of a new NMLS account and submission of a new Company Form (MU1). |  |                  |
| <input type="checkbox"/>   | <b>Change of Legal Status:</b> Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS. | NMLS             |

| Complete                 | AR Money Transmitter License Addition or Modification of Affiliates/Subsidiaries Amendment Items  | Submitted via... |
|--------------------------|---|------------------|
| <input type="checkbox"/> | <b>Addition or Modification of Affiliates/Subsidiaries:</b> Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS. | NMLS             |

| Complete                 | AR Money Transmitter License Addition or Modification of Direct Owners/Executive Officers Amendment Items   | Submitted via... |
|--------------------------|---|------------------|
| <input type="checkbox"/> | <b>Addition or Modification of Direct Owners/Executive Officers:</b> Submit an amendment for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS.   | NMLS             |
| Note                     | <b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.  | N/A              |
| <input type="checkbox"/> | <p><b>MU2 Individual FBI Criminal Background Check Requirements:</b> The following Individuals, as specified below, on the Company Form (MU1) are required to authorize an FBI criminal background check (CBC) through NMLS.</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> <li>• Individuals with the ownership of, or the power to vote, at least 25 percent of a class of voting securities or voting interests for the applicant.</li> </ul> <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> <li>• All Directors and Executive Officers of the applicant.</li> </ul> <p>After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.</p> <p>See the <u>Criminal Background Check section</u> of the NMLS Resource Center for more information.</p> <p><b>Note:</b> If you are able to 'Use Existing Prints' to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.</p> <p><b>Note:</b> The above MU2 individuals are not required to authorize FBI criminal background checks if the applicant or the applicant's corporate parent is a publicly traded entity.</p> | NMLS             |

| Complete                 | AR Money Transmitter License Addition or Modification of Indirect Owners Amendment Items  | Submitted via... |
|--------------------------|---|------------------|
| <input type="checkbox"/> | <b>Addition or Modification of Indirect Owners:</b> Submit an amendment for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. | NMLS             |
| Note                     | <b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.  | N/A              |

| Complete                 | AR Money Transmitter License Addition or Modification of Qualifying Individual Amendment Items  | Submitted via... |
|--------------------------|---|------------------|
| <input type="checkbox"/> | <b>Addition or Modification of Qualifying Individual:</b> Submit an amendment for an addition or change in Qualifying Individuals within the Company Form (MU1) in NMLS.  | NMLS             |
| Note                     | <b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.  | N/A              |
| <input type="checkbox"/> | <p><b>MU2 Individual FBI Criminal Background Check Requirements:</b> The following Individuals, as specified below, on the Company Form (MU1) are required to authorize an FBI criminal background check (CBC) through NMLS.</p> <p><i>Qualifying Individuals</i></p> <ul style="list-style-type: none"> <li>The responsible individual for the applicant.</li> </ul> <p>After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.</p> <p>See the <a href="#">Criminal Background Check section</a> of the NMLS Resource Center for more information.</p> <p><b>Note:</b> If you are able to 'Use Existing Prints' to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.</p> <p><b>Note:</b> The above MU2 individuals are not required to authorize FBI criminal background checks if the applicant or the applicant's corporate parent is a publicly traded entity.</p> | NMLS             |

| Complete                 | AR Money Transmitter License Change of Disclosure Question(s) Amendment Items   | Submitted via...  |
|--------------------------|---|---|
| <input type="checkbox"/> | <b>Change of Disclosure Question(s):</b> Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.  | <b>NMLS</b>   |
| <input type="checkbox"/> | <b>Changing a Response from No to Yes:</b> Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes” for company or each control person.<br><br>See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions. | <b>Upload in NMLS</b> in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2). |